



Patrick W. Henning, Director



Arnold Schwarzenegger
Governor

November 7, 2008
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Mr. Elliot Robinson, Director
Monterey County Department of Employment and Social Services
1000 South Main Street, Suite 209A
Salinas, CA 93901

Dear Mr. Robinson:

WORKFORCE INVESTMENT ACT
85-PERCENT PROGRAM REVIEW
FINAL MONITORING REPORT
PROGRAM YEAR 2008-09

This is to inform you of the results of our review for Program Year (PY) 2008-09 of the Monterey County Department of Employment and Social Services' (DESS) Workforce Investment Act (WIA) 85-Percent program operations. We focused this review on the following areas: Workforce Investment Board and Youth Council composition, local program monitoring of subrecipients, management information system/reporting, incident reporting, nondiscrimination and equal opportunity, grievance and complaint system, and Youth program operations including WIA activities, participant eligibility, and Youth services.

This review was conducted by Mr. David Davis, [REDACTED] and Mr. Larry Yanni from September 22, 2008 through September 26, 2008.

Our review was conducted under the authority of Sections 667.400 (a) and (c) and 667.410 of Title 20 of the Code of Federal Regulations (20 CFR). The purpose of this review was to determine the level of compliance by DESS with applicable federal and state laws, regulations, policies, and directives related to the WIA grant regarding program operations for PY 2008-09.

We collected the information for this report through interviews with DESS representatives, service provider staff, and WIA participants. In addition, this report includes the results of our review of selected case files, DESS's response to Section I and II of the Program On-Site Monitoring Guide, and a review of applicable policies and procedures for PY 2008-09.

On October 8, 2008, we received the documents in question to the issue observed during our monitoring review, and prior to our draft report being issued. Because your response adequately addressed the finding, no further action is required and we consider the issue resolved.

BACKGROUND

The DESS was awarded WIA funds to administer a comprehensive workforce investment system by way of streamlining services through the One-Stop delivery system. For PY 2008-09, DESS was allocated: \$1,959,779 to serve 360 adult participants; \$2,040,545 to serve 376 youth participants; and \$1,757,080 to serve 369 dislocated worker participants.

For the quarter ending June 30, 2008 DESS reported the following expenditures for its WIA programs: \$1,959,779 for adult participants; \$2,036,929 for youth participants; and \$1,757,080 for dislocated worker participants. In addition, DESS reported the following enrollments: 442 adult participants; 350 youth participants; and 230 dislocated worker participants. We reviewed case files for 28 of the 30 participants enrolled in the WIA program as of September 29, 2008.

PROGRAM REVIEW RESULTS

While we concluded that, overall, DESS is meeting applicable WIA requirements concerning grant program administration, we noted as instance of noncompliance in the area of: Non-Discrimination & EO policy/procedures. The finding that we identified in this area, our recommendation, and DESS proposed resolution of the finding is specified below.

FINDING 1

Requirement: 20 CFR Section 667.275(a)(1) states, in part, that recipients must comply with nondiscrimination and EO provisions.

WIAD01-21 states, in part, that initial and continuing notice of nondiscriminatory practices and the right to file a complaint must be made available to each participant, and A copy of an acknowledgement of receipt must be signed by the participant and maintained in each participant's case file.

Observation: We observed four participant case files did not have a signed acknowledgement of receipt of DESS's EO/grievance and complaint form for four participants.

Subsequent to our review, DESS provided copies of the four signed EO/grievance and complaint acknowledgement forms on October 8, 2008.

Since the finding in this report is resolved, we are issuing this report as a final report.

Because the methodology for our monitoring review included sample testing, this report is not a comprehensive assessment of all of the areas included in our review. It is DESS's responsibility to ensure that its systems, programs, and related activities comply with the WIA grant program, Federal and State regulations, and applicable State directives. Therefore, any deficiencies identified in subsequent reviews, such as an audit, would remain DESS's responsibility.

Please extend our appreciation to your staff for their cooperation and assistance during our review. If you have any questions regarding this report or the review that was conducted, please contact Mr. Jim Tremblay at (916) 654-7825 or Mr. David Davis at (916) 654-8332.

Sincerely,



JESSIE MAR, Chief
Compliance Monitoring Section
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